T Applicant's Guide - Volume II - National apter - US

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Submitted

**DECLARATION FOR** UTILITY OR DESIGN PATENT APPLICATION

Declaration OR Declaration

Submitted after

Approved for use through 9/30/98. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Attorney Docket Number	NANO-002/01US
First Named Inventor	George W. SHAW et al.
COMPLETE	IF KNOWN
Application Number	
Filing Date	
Group Art Unit	
Examiner Name	

with Initial Filia	ng l	nitial Filing	Examiner Nam	e					
As a below named inven My residence, post office	address, and	citizenship are as stated t							
l believe I am the original, below) of the subject matte		e inventor (if only one name aimed and for which a pat		n original, ivention e	first and join	nt inventor (d plural na	imes are listed		
the specification of which		(Title of	the invention)						
is attached hereto OR XXX was filed on (MM/DD	is attached hereto								
			amended on (MM/D)	) (************************************			(if applicable).		
I hereby state that I have re amendment specifically ref I acknowledge the duty to o	lisclose infon	mation which is material to	patentability as defin	ed in Title	37 Code of	Federal Regulations	.§1.56.		
I hereby ctaim foreign priority certificate, or §365 (a) of an below and have also identifi application having a filing dat	ad below h	charting the house, and		§365(b) one count patent or	of any foreigny other that inventor's i	n application(s) for partition the United States continues or of any in	atent or inventor's of America, listed PCT international		
Prior Foreign Application Number(s)		Country	Foreign Filing (MM/DD/YY)		Priority ot Claimed	Certified Cop	y Attached?		
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Additional foreign application	n numbers a	re listed on a supplement	al priority sheet attact	ed hereto	):	•			
I hereby claim the benefit und Application Number(s	er Title 35, U	Inited States Code 9 119(e	) of any United States	provision	al applicatio	in(s) listed below.			
60/005,408	<u>'</u>	Filing Date (Mi		Additional provisional application numbers are listed on a supplemental pnority sheet attached hereto.			on a .		
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(Page 1 of 5)

[Page 1 or 3]

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE Under the Papermork Reduction Act of 1995, no persons are required to respond to a collection of information unless 4 contains a valid QMB control number DECLARATION I hereby claim the benefit under Title 35, United States Code §120 of any United States application(s), or §365(c) of any PCT international application I hereby claim the benefit under little 35, United States Code §120 of any United States application(s), or §305(c) of any PC1 international application designating the United States of America, Ested below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Tale 35, United States Code §112, I acknowledge the duty to disclose information which is material to patentability as defined in Tale 37, Code of Federal Regulations §1.56 which became available between the filing date of the prior application and the national or PCT international fling date of this application. U.S. Parent Application **PCT Parent** Parent Filing Date Parent Patent Number Number Number (MM/DD/YYYY) (if applicable) Additional U.S. or PCT international application numbers are listed on a supplemental priority sheet attached hereto. As a named inventor, I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith: Registration Name Name Registration Number Nina ASHTON 37,273 Willis E. HIGGINS 23,025 Alexandra J. BARAN, Ph.D. 39,101 Melya J. HUGHES, Ph.D. 38,696 James A. BRADBURNE, Ph.D. 38,389 Peter R. LEAL 24,226 Aaron S. BRODSKY 39,920 Marci LILLIS, Ph.D. 36,583 John W. GIRVIN, Jr. 22,706 Tom M. MORAN 26,314 Richard M. GOLDMAN 25,585 Jackie N. NAKAMURA 35,966 Additional registered practitioner(s) named on a supplemental sheet attached hereto. Direct all correspondence to: Willis E. Higgins Name **Address** Cooley Godward LLP Address Five Palo Alto Square. 3000 El Camino Real Palo Alto CA City State ZIP 94306-2155 Country United States Telephone (650) 843-5000 (650) 857-0663 Fax I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that wilful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such wilful false statements may jeopardize the validity of the application or any patent issued thereon Name of Sole or First Inventor: A petition has been filed for this unsigned inventor Given Middle Family George Suffix SHAW Name Name Initial e.g. Jr. inventor's Date Signature State CA Residence: City Country Citizenship San Ramon United States US Post Office Address 310 Hillcrest Court Post Office Address

94583

Country

United States

CA

Additional inventors are being named on supplemental sheet(s) attached hereto

State

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# **DECLARATION**

		(Supplemental Sheet)				
Name	Registration Number	Name	Registration Number			
Richard L. NEELEY, Ph.D. Craig P. OPPERMAN Marya A. POSTNER, Ph.D. Gurjeev K. SACHDEVA William E. WINTERS	30,092 37,078 P-42,085 37,434 P-42-232		Number			
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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number. Attorney Docket Number NANO-002/01US **DECLARATION FOR** First Named Inventor George W. SHAW et al. **UTILITY OR DESIGN** COMPLETE IF KNOWN PATENT APPLICATION Application Number Filing Date Declaration Declaration OR Group Art Unit Submitted Submitted after with Initial Filing Initial Filing Examiner Name As a below named inventor, I hereby declare that: My residence, post office address, and citizenship are as stated below next to my name. I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled RISC MICROPROCESSOR ARCHITECTURE (Title of the Invention) the specification of which is attached hereto OR XXX was filed on (MM/DD/YYYY) 04 October 1996 as United States Application Number or PCT International PCT/US96/16013 and was amended on (MM/DD/YYYY) I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above. I acknowledge the duty to disclose information which is material to patentability as defined in Title 37 Code of Federal Regulations, §1.56. I hereby claim foreign priority benefits under Title 35. United States Code §119 (a)-(d) or §365(b) of any foreign application(s) for patent or inventor's certificate, or §365 (a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed. **Prior Foreign Application** Foreign Filing Date **Priority** Certifled Copy Attached? Country Number(s) (MM/DD/YYYY) Not Claimed YES Additional foreign application numbers are listed on a supplemental priority sheet attached hereto:

(Page 1 of 5)

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I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below.

06 October 1995

Filing Date (MM/DD/YYYY)

Application Number(s)

60/005,408

Additional provisional application

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Given Name	Ge	orge			Middle Initial	W	Family - Name	SHA	W			uffix .g. Jr.	
Inventor's Signature										Date			
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Richard L. NEELEY, Ph.D. Craig P. OPPERMAN Marya A. POSTNER, Ph.D. Gurjeev K. SACHDEVA William E. WINTERS	30,092 37,078 P-42,085 37,434 P-42-232					
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Submitted

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#### Attorney Docket Number NANO-002/01US **DECLARATION FOR** First Named Inventor George W. SHAW et al. UTILITY OR DESIGN COMPLETE IF KNOWN PATENT APPLICATION Application Number Filing Date Declaration OR Declaration Group Art Unit Submitted after Initial Filing Examiner Name

As a below named inventor, i	l hereby declare that:								
My residence, post office address, and citizenship are as stated below next to my name.									
I believe I am the original first and sole inventor of only and and a life or the original first and sole inventor of only and a life or the original first and sole inventor of only and original first and original first and sole inventor of only and original first and original fi									
below) of the subject matter wh	below) of the subject matter which is claimed and for which a patent is sought on the invention entitled :								
RISC MICROPROCESSOR ARCHITECTURE									
the specification of which	(Title of the	Invention)							
is attached hereto		·							
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amendment specifically referred	ved and understand the contents of th d to above,	e above identified specif	fication, includin	g the claims, as amended by any					
I acknowledge the duty to disclo	ose information which is material to pa	tentability as defined in	Title 37 Code of	Federal Regulations, §1.56.					
I hereby claim foreign priority ben	efits under Title 35 United States Co	de §119 (a)-(d) or §365	(b) of any foreig	n application(s) for patent or inventor's					
below and have also identified by	elow, by checking the box, any foreitore that of the application on which p		ountry other that it or inventor's (	in application(s) for patent or inventor's in the United States of America, listed certificate, or of any PCT international					
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Additional foreign application nu	imbers are listed on a supplemental p	riority sheet attached he	reto:						
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As a named inve	intor, I hereby appoint to	he following re rith:	egistered pro	act tio	ner(s) to p	rosecute	this app	dication an	d to transa	all busin	ess in the	Patent
	Name		Registi Num					Name				gistration Number
Nina ASE			37,27	_				HIGG1			$\rightarrow$	025
	a J. BARAN,		39,10						, Ph.	D.		696
James A.	BRADBURNE, BRODSKY	Ph.D.	38,38			eter		_				226
	GIRVIN, Jr.		39,92					IS, P	h.D.		36,	583
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Given Name	George		Middle initiai	W	Family Name	′	SHAW			L.	Suffix e.g. Jr.	
Inventor's Signature									Date	i		
Residence: City	San Ramon		State	CA	Country	Un:	ited	State	28	Citize	nship	US
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Name	Registration Number		Name	Registration Number
Richard L. NEELEY, Ph.D. Craig P. OPPERMAN Marya A. POSTNER, Ph.D. Gurjeev K. SACHDEVA William E. WINTERS	30,092 37,078 P-42,085 37,434 P-42-232			Number
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	Attorney Docket Number	NANO-002/01US
DECLARATION FOR	First Named Inventor	George W. SHAW et al.
UTILITY OR DESIGN	COMPLETE	IE KNOWN
PATENT APPLICATION	Application Number	
	Filing Date	
Declaration OR Declaration Submitted Submitted after	Group Art Unit	
with Initial Filing Initial Filing	Examiner Name	
RISC HICROPROCESSOR ARCHITECTU	the Invention)	
is attached hereto OR XXX was filed on (MM/DD/YYY)  Application Number  PCT/US96/16013  I hereby state that I have reviewed and understand the contents of amendment specifically referred to above.  I acknowledge the duty to disclose information which is material to	of the above identified specification, include patentability as defined in Title 37 Coc	de of Federal Regulations, §1.56.
I hereby claim foreign priority benefits under Title 35 United States certificate, or §365 (a) of any PCT international application which below and have also identified below, by checking the box, any f application having a filing date before that of the application on which	The state of many one coding of the	preign application(s) for patent or inventor's rithan the United States of America, listed or's certificate, or of any PCT international

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYY)	Priority Not Claimed	Certified Copy Attached?		
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Application Number(s) Filing Date (MM/DD/YYYY) 60/005,408 06 October 1995

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[Page 1 of 5]
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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCI.  Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless & contains a valid OMB control number  DECLARATION														
I hereby claim the benefit under Title 35, United States Code §120 of any United States application(s), or §365(c) of any PCT international application designating the United States of America, fisted below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code §112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations §1.56 which became available between the filing date of the prior application and the national or PCT international fling date of this application.														
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be true; and fur impresonment, the application	Country United States Telephone (650) 843-5000 Fax (650) 857-0663  I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or impresonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.  Name of Sole or First Inventor:													
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	Attorney Docket Number	NANO-002/01US			
DECLARATION FOR	First Named Inventor	George W. SHAW et al.			
UTILITY OR DESIGN	COMPLETE IF KNOWN				
PATENT APPLICATION	Application Number				
	Filing Date				
Declaration OR Declaration Submitted after	Group Art Unit				
with Initial Filing Initial Filing	Examiner Name				

As a below named inventor, I hereby declare that:										
My residence, post office ad	My residence, post office address, and citizenship are as stated below next to my name.									
I believe I am the original fir	SI 2011 sole inventor (il est, ess esse									
below) of the subject matter	I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:									
l i	S TO THE STATE OF									
RISC MICROPROCESSOR ARCHITECTURE										
the specification of which	(100 or t	he invention)								
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amendment specifically refer	red to above.	me spoke identified si	pecification, includir	ng the claims, as amended by any						
I acknowledge the duty to dis	close information which is material to	patentability as define	d in Title 37 Code o	Federal Regulations \$1.50						
certificate, or §365 (a) of any	PCT international application which	Code §119 (a)-(d) or § designated at least on	365(b) of any foreign	n application(s) for patent or inventor's in the United States of America, listed						
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Additional foreign application	numbers are listed on a supplementa	I priority sheet attache	d hereto:							
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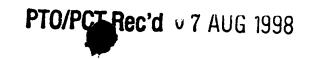
[Page 1 of 5]

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Inventor's Signature											Date			<u> </u>
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#### **PATENT**

Attorney Docket No. NANO-002/01US

Palo Alto, CA 94306

Express Mail Label Number: EM 570 540 394 uS

Date of Deposit: August 7, 1998

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Date: <u>8/7/98</u>

In re application of

Elaine Calinquim

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

)

		)	Examiner:
George W. Sh	aw et al.	)	
		)	Art Unit:
Serial No. Not	yet assigned	)	
(U.	S. National Phase of	)	
PC	CT/US96/16013)	)	POWER OF ATTORNEY BY
		)	ASSIGNEE AND EXCLUSION
Filed:	•	)	OF INVENTORS UNDER 37 CFR
		)	1.36 and 3.71
For: RIS	C MICROPROCESSOR	)	

### **BOX PCT**

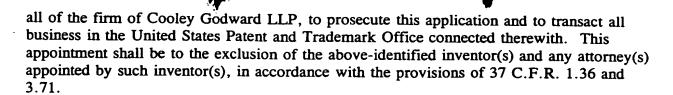
Assistant Commissioner for Patents Washington, D.C. 20231

ARCHITECTURE

Sir:

The undersigned assignee of the entire interest in the application for Letters Patent identified above hereby revokes all prior appointments of attorneys and appoints

Richard L. Neeley	30,092	Marcella Lillis	36,583
Willis E. Higgins	23,025	Craig P. Opperman	37,078
Tom M. Moran	<u>26,314</u>	Melya J. Hughes	38,696
John W. Girvin, Jr.	22,706	Aaron S. Brodsky	39,920
Richard M. Goldman	25,585	Gurjeev K. Sachdeva	37,434
Jackie N. Nakamura	<u>35,966</u>	Alexandra J. Baran	39,101
Peter R. Leal	_24,226_	Saul A. Seinberg	24,840
Nina M. Ashton	37,273	James A. Bradburne	38,389



Assignee's rights are evidenced by an assignment

[X] a copy of which is enclosed herewith.

[] previously recorded at reel, frame(s).

Please direct all telephone calls and correspondence to:

Cooley Godward LLP
Attn: Willis E. Higgins
Five Palo Alto Square
3000 El Camino Real
Palo Alto, CA 94306-2155
Attention: Patent Group
650-843-5000

Assignee: Patriot Scientific Corporation

Name: <u>James</u>

Title: President and CEO

Address:

10989 Via Fontera San Diego, CA 92127

Date:  $\frac{5/20/98}{}$ 

PTO/SB/10 (10-95)

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Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) & 1.27(c))SMALL BUSINESS CONCERN	Docket Number (Optional) NANO-002/01US								
ApplicantorPatentee: George W. Shaw et al.  Application or Patent No.: not yet assigned (U.S. National Phase Filed or Issued:  Title: RISC MICROPROCESSOR ARCHITECTURE	of PCT/US96/16013)								
I hereby declare that I am the owner of the small business concern identified below: an official of the small business concern empowered to act on behalf of the concern identified below:									
NAMEOFSMALLBUSINESSCONCERN Patriot Scientific Corporation									
ADDRESS OF SMALL BUSINESS CONCERN 10989 Via Fontera, San 1	Diego, CA 92127								
I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time, or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.									
I hereby declare that rights under contract or law have been conveyed to and remain wit identified above with regard to the invention described in:	h the small business concern								
<ul> <li>☐ the specification filed herewith with title as listed above.</li> <li>☐ the application identified above.</li> <li>☐ the patent identified above.</li> </ul>									
If the rights held by the above identified small business concern are not exclusive, organization having rights in the invention must file separate verified statements averring to and no rights to the invention are held by any person, other than the inventor, who would not qualifunder 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualifunder 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).	their status as small entities, fvas an independent inventor								
Each person, concern, or organization having any rights in the invention is listed below XXX no such person, concern, or organization exists.  — each such person, concern, or organization is listed below.	v:								
Separate verified statements are required from each named person, concern or organinvention averring to their status as small entities. (37 CFR 1.27)	inization having rights to the								
I acknowledge the duty to file, in this application or patent, notification of any change entitlement to small entity status prior to paying, or at the time of paying, the earliest of the is fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.	sue fee or any maintenance								
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.									
NAME OF PERSON SIGNING									
TITLE OF PERSON IF OTHER THAN OWNERCEO									
ADDRESS OF PERSON SIGNING 10989 Via Fontera, San Diego, C.	A 92127								
SIGNATURE DATE	5/20/98								
Burden Hour Statement: This form is estimated to take 0.3 hours to complete. Time will vary depending upon toomments on the amount of time you are required to complete this form should be sent to the Chief Information Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Washington, DC 20231.	he needs of the individual case. Any Officer, Patent and Trademark Office, Assistant Commissioner for Patents,								

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I hereby claim the benefit under Title 35, United States Code §120 of any United States application(s), or §365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code §112, 1 acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations §1.56 which became available between the filing date of the prior application and the national or PCT international fling date of this application.

	date of this approach,							
U.S. Parent Application Number	PCT Parent Number	Parent Filing Date (MM/DD/YYY)	Parent Patent Number (if applicable)					
		·						

Additional U.S. or PCT international application numbers are listed on a supplemental priority sheet attached hereto.

As a named inventor, I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

Name	Registration Number	Name	Registration Number
Nina ASHTON Alexandra J. BARAN, Ph.D. James A. BRADBURNE, Ph.D. Aaron S. BRODSKY John W. GIRVIN, Jr. Richard M. GOLDMAN	37,273 39,101 38,389 39,920 22,706 25,585	Willis E. HIGGINS Melya J. HUGHES, Ph.D. Peter R. LEAL Marci LILLIS, Ph.D. Tom M. MORAN Jackie N. NAKAMURA	23,025 38,696 24,226 36,583 26,314 35,966

Additional registered practitioner(s) named on a supplemental sheet attached hereto.

Direct all co	rrespondence to:		<u> </u>				
Name	Willis E. Higgin	8					_
Address	Cooley Godward L	LP					
Address	Five Palo Alto S	quare. 30	00 E1	Camino	Rea 1	•	
City	Palo Alto			State	,CA		ZIP 94306-2155
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Name of	Sole or First Inventor	:				A petition has	been filed for this u	nsigned invento	r
Given Name	George	_	Mick	··· • • • • • • • • • • • • • • • • • •	Family Name	SHAW	_	Suffix e.g. Jr.	
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Additional inventors are being named on supplemental sheet(s) attached hereto

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	os Ga		State	LA	Zip	95	5030	Countr	y Uni	ted S	tates			
Name of Additional Joint Inventor, if any:  A petition has been filed for this use leading.														
Given Name	Bra	dley		Mid		D.	Family Name	JENSI				Sun	1x	
Inventor's Signature Date										_اورا				
Residence: City	S	an Jose			State	CA	Country	Unite	d Stat	es	Cit	izenship	1	US
Post Office Address 5914 Fishburne Avenue														
Post Office	Address										<del></del> -			
	San Jo		State	Lut	Zip	9	5123	Country	Unit	ed Sta	etes			
	Additi	onal Joint Inver	tor, if a	iny:			AF	etition has	been filed fo			ventor		
Given Name	Russe.	11			Middle intial	H.	Family Name	FISH	<u> </u>			Suffix	I	II
nventor's Signature							,			Oate		<u> </u>	<u> </u>	
Residence: City	Da	llas			State	TX	Country	Unite	d State		CH	tizenship		JS
ost Office /	Address	5426 Mea	dow (	Cree	k D	riv	e, No.	2095	-					
ost Office A	ddress								•					$\neg \exists$
	llas		State	TX	Zip	75	248	Country	Unite	d Sta	tes			
iven	Additio	nal Joint Invent	or, if an					etition has	been filed fo	r this uns	igned in	ventor		$\dashv$
ame _C	harle	8			Middle	H.	Family Name	MOORE				Suffix e.g. Jr.		
iventor's ignature	Ca	al H	1. 10	10	ou	-				Date	98	AUG		
esidence: ity	Woo	dside C	A-	St	ate (	'A	Country	United	1 State	s	Citt	zenship	US	
ost Office A	ddress	410 Star	H111	Roa	d		<u> </u>							$\dashv$
ost Office A	ddress											<del></del>		$\dashv$
	Woods			A	Zlp	94	062	Conunty	Juited	State	8			$\dashv$
1 Additi	onal inv	entors are being	name	d on s	supple	emer	tal sheet	(s) attach	ed hereto					$\longrightarrow$

(Page 3 of 5)